

10269-20CON
(HSX/001 CON5)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.

Application No. : 10/655,409 Confirmation No. : 6575

Filed : September 4, 2003

For : COMPUTER-IMPLEMENTED SECURITIES
TRADING SYSTEM WITH A VIRTUAL
SPECIALIST FUNCTION

Group Art Unit : 3623

Examiner : Not Yet Assigned

New York, New York 10020
January 24, 2005Hon. Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants hereby make the following document of record in
the above-identified patent application:

Non-Patent Document

Tuchlin; Smooth Negotiating: Making the Director Deal. 1998
The Internet printout.

Pursuant to 37 C.F.R. § 1.98(d), a copy of the
document is not provided, because it was originally cited on
January 21, 2005, and is of record, in parent U.S. Patent

Application No. 09/465,607, filed on December 17, 1999, from which priority is claimed.

Applicants believe that no fee is due at this time because this Statement is being submitted before the mailing of a First Office Action on the merits. See 37 C.F.R.

§ 1.97(b)(3). However, if any fee is due in connection with this Information Disclosure Statement, the Director is hereby authorized to charge payment of any additional fees required or to credit any overpayment of same in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this Information Disclosure Statement is enclosed herewith.

It is respectfully requested that this document be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form SB/08, as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



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I hereby certify that this Correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope Addressed to: Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 on

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10655409 - GAU: 3696

PTO/SB/08A (10-01)

Approved for use through 10/31/2002 OMB 0651-0031
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

1

Complete if known

Application Number	10/655,409
Confirmation Number	6575
Filing Date	September 4, 2003
First Named Inventor	Timothy Maxwell Keiser
Art Unit	3623
Examiner Name	Not Yet Assigned
Attorney Docket Number	HSX/001 CONS

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

Examiner Signature

Date Considered

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Foreign Patent Document Country Code ¹ , Number ² - Kind Code ²	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁴

Examiner Signature

Date Considered

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue numbers (s), publisher, city and/or country where published	T ⁴
		Tuchlin; Smooth Negotiating: Making the Director Deal. 1998 The Internet printout.	

Examiner Signature

/Clement Graham/

Date Considered

01/21/2009

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

** Applicant's unique citation designation number (optional). ¹ See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ² Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ³ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁴ Applicant is to place a check mark here if English language translation is attached.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./